COMMAND INSPECTION PROGRAM EXCEPTIONS DOCUMENT

Command:	Division:	Chapter:	
Central Division	Central	Three	
Inspected by:	A	Date:	
Sergeant S. Goddard, #15220		06/11/2009	

age 1 of 2

INSTRUCTIONS: This document shall I number of the inspection in the Chapter shall be routed to and its due date. This improvement, identified deficiencies, co	Inspecti s docume	on number. Under "Forw ent shall be utilized to do	ard to:" enter the ne cument innovative p	ill in the blanks as indicated. Enter the chapter xt level of command where the document ractices, suggestions for statewide e used if additional space is required.
TYPE OF INSPECTION		Total hours expende	d on the	Corrective Action Plan Included
Division Level Command	Level	inspection:		Attachments Included
Executive Office Level		8.0 Hours		
Follow-up Required:	Forwa	rd to:		
☐ Yes	Due D	ate:		
Chapter Inspection:	New York			
Inspector's Comments Regar	rding Ir	novative Practices		
None				
	4-4			
Command Suggestions for S	tatewic	ie improvement.		
. Jhe				
Inspector's Findings:				
Through inspection, it was determined purchase orders and sent to Flurchase orders and/or packin received.	MS. A	dditionally, FMS ha	as not been pro	re not been attached to copies of ovided with photocopies of ion of the order has been
Commander's Response: ⊠	Concu	r or ☐ Do Not Con	cur (Do Not Con	cur shall document basis for response)

Inspector's Comments: Shall address non concurrence by commander (e.g., findings revised, findings unchanged,

None

COMMAND INSPECTION PROGRAM PECTION CHECKLIST

Chapter 3, Command Procurements X-Number Program

Command:	Division:	Number:
Central Division	Central	401
Evaluated by:		Date:
Sergeant Scott Goddard		06/11/2009
Assisted by: SSA Sandy Padilla		Date: 06/11/2009

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected. TYPE OF INSPECTION Lead Inspector's Signature: □ Division Level Command Level S.60C ☐ Executive Office Level ☐ Voluntary Self-Inspection Commander's Signature: ☐ Follow-up Inspection Follow-up Required: 06/11/2009 ⊠ No Yes For applicable policy, refer to: HPM 11.1, Chapter 23 1. Are multiple X Numbers awarded to the same vendor Remarks: □ N/A ☐ Yes ⊠ No to circumvent the \$4,999 contract limit? 2. Does all X Number file documentation contain the Remarks: □ N/A STD. 204 Payee Data Record? ✓ Yes ☐ No Do X Numbers requiring a contract (i.e., janitorial or Remarks: □ N/A ☐ No landscaping) have prior approval from the Business Services Section commander? 4. Are X Number requests made prior to the date the Remarks: □ N/A □ No ✓ Yes services are performed? 5. Are X Numbers issued for a one-time use? Remarks □ N/A □ No 6. Are prohibited services performed using an X Remarks: □ N/A Number? Yes ⊠ No 7. Are X Numbers used for the procurement of a Remarks: □ N/A ✓ Yes □ No service and not the purchase of a commodity? Are X Numbers issued for telecommunications Remarks: □ N/A ✓ Yes ☐ No related services pre-approved by Telecommunications Section? Do X Numbers used for facilities related services Remarks: □ N/A No (such as roof repair, electrical) costing over \$1,000 X Yes have prior approval from Facilities Section? 10. Do X Numbers issued for lapsed contractual Remarks: □ No □ N/A ✓ Yes agreements have prior approval by the appropriate Assistant Commissioner?

COMMAND INSPECTION PROGRAM SPECTION CHECKLIST

11. Do all X Numbers awarded to a non-small business vendor contain three price quotations?	⊠ Yes	☐ No	□ N/A	Remarks:
12. Do all X Numbers awarded to a small business vendor contain the small business certification from the Department of General Services (DGS)?	⊠ Yes	□No	□ N/A	Remarks:
13. Does the file documentation contain the STD. 21 Drug Free workplace certification for X Number vendors?	⊠ Yes	□No	□ N/A	Remarks:
14. Do emergency service X Numbers document and justify the emergency?	⊠ Yes	□No	□ N/A	Remarks
15. Is the itemized invoice for each X Number service maintained in the command's files?	⊠ Yes	☐ No	□ N/A	Remarks:

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements X-Number Program

•	D POTES MAN IL F	Page	I OT
Command:	Division:Central	Number: 420	
Bakersfield			
Evaluated by:	10	Date:	
L. Logan, Sgt.		12/8/2008	
Assisted by:		Date:	
T. Roberts, Lt.		12/8/2008	- 1

-			,				
TYPE	OF INSPECTION		Lead Insp	ector's Signat	yle:		
☐ Div	vision Level	□ Command Level		: Le	20		
	ecutive Office Level	☐ Voluntary Self-Inspection		Z//	ju-		
F	ollow-up Required: ☐ Yes No	Follow-up Inspection	Compland	er's Signature	4)	Date: 12-8-08
		o: HPM 11.1, Chapter 23					
1.	to circumvent the \$4,99		☐ Yes	⊠ No	□ N/A	Remarks:	
2.	Does all X Number file STD. 204 Payee Data F	documentation contain the Record?	⊠ Yes	□No	□ N/A	Remarks:	1
3.	Do X Numbers requiring landscaping) have prior Services Section comm	g a contract (i.e., janitorial or approval from the Business ander?	⊠ Yes	□ No	□ N/A	Remarks:	
4.	services are performed		⊠ Yes	□ No	□ N/A	Remarks:	963
5.	Are X Numbers issued t		⊠ Yes	□No	□ N/A	Remarks:	
6.	Are prohibited services Number?	•	☐ Yes	⊠ No	□ N/A	Remarks:	
7.	Are X Numbers used for service and not the purc	the procurement of a chase of a commodity?	⊠ Yes	□No	□ N/A	Remarks:	1000
	Are X Numbers issued frelated services pre-app Telecommunications Se	roved by ction?	⊠ Yes	□No	□ N/A	Remarks:	
9.	(such as roof repair, election have prior approval from		⊠ Yes	□No	□ N/A	Remarks:	
10.	Do X Numbers issued fo agreements have prior a Assistant Commissioner	pproval by the appropriate	☐ Yes	□No	⊠ N/A	Remarks: No Area aware o	such instances found. f policy.

2 of 2

STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

	Do all X Numbers awarded to a non-small business vendor contain three price quotations?	⊠ Yes	☐ No	□ N/A	Remarks:
12	Do all X Numbers awarded to a small business vendor contain the small business certification from the Department of General Services (DGS)?	⊠ Yes	□ No	□ N/A	Remarks:
13.	Does the file documentation contain the STD. 21 Drug Free workplace certification for X Number vendors?	⊠ Yes	□ No	□ N/A	Remarks:
	Do emergency service X Numbers document and justify the emergency?	⊠ Yes	□ No	□ N/A	Remarks:
15.	Is the itemized invoice for each X Number service maintained in the command's files?	⊠ Yes	□ No	□ N/A	Remarks:

Memorandum

36



Date:

April 26, 2008

To:

Bakersfield Area

From:

DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

Bakersfield Area

File No.:

420.12958

Subject:

CAL CARD AND X-NUMBER AUDIT

On April 19, 2008, I conducted an audit of the Bakersfield Area's Cal Card expenditures from January 1, 2007 to the date of the audit. I also audited the X-number purchases for the current fiscal year (July 1, 2007 to present).

CAL CARD AUDIT:

Primary Cal Card holder: Office Assistant Melissa Lara

Secondary Cal Card holder: Automotive Technician John Urbano

I reviewed all 25 CHP 317's (Cal Card Log) from January 1, 2007 to April 19, 2008, detailing 180 Cal Card purchases. The vast majority of purchases were for janitorial and office supplies, which is the primary purpose of the Cal Card. These purchases were made through approved local small businesses. Other purchases included auto supplies for which the State no longer has a contract. There were no indications of inappropriate purchases and all purchases were properly documented with attached receipts and Cal Card statements. Two purchases were made on 1/2/08 and 1/3/08 that were not through approved small businesses, and the proper documentation was not attached (missing CHP 28, Voluntary Statistical Data, STD 21, Drug Free Workplace Certification, and STD 204, Payee Data Records). The employees involved in these purchases have been counseled on proper procedures to prevent future occurrences. Both Cal Cards are kept secured in locked desks.

X-NUMBER AUDIT:

I reviewed 13 CHP 78X's, detailing all purchases made so far during the current fiscal year. I looked for expenses which may have been "split" to circumvent the \$1000 X-number limit and found none. All expenditures were properly documented and were primarily for facility maintenance and repairs. Bids were obtained and documented for purchases not able to be made through approved small businesses, and all required receipts and statements were attached to the CHP 78X forms. No discrepancies were noted.

E. LOGAN, #12958

Sergeant

1 of 2

STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

COMMAND INSPECTION PROGRAM

INSPECTION CHECKLIST

Chapter 3, Command Procurements X-Number Program

Command: Division: Central		Number:
Evaluated by: Lt. S. A. Netzer		Date: 11/03/2008
Assisted by: N/A		Date:

¥.					
TYPE OF INSPECTION	Lead Inspe	ector's Signat	ure:		
☐ Division Level ☐ Command Level	vel SAULT				
☐ Executive Office Level ☐ Voluntary Self-Inspection					
Follow-up Required: ☐ Follow-up Inspection ☐ Yes ☐ No	Command	er's Signature	1 1	Date: /1/05/08	
For applicable policy, refer to: HPM 11.1, Chapter 23					
 Are multiple X Numbers awarded to the same vendor to circumvent the \$4,999 contract limit? 	☐ Yes	⊠ No	□ N/A	Remarks:	
Does all X Number file documentation contain the STD. 204 Payee Data Record?	⊠ Yes	□ No	□ N/A	Remarks:	
3. Do X Numbers requiring a contract (i.e., janitorial or landscaping) have prior approval from the Business Services Section commander?	⊠ Yes	□No	□ N/A	Remarks:	
4. Are X Number requests made prior to the date the services are performed?	⊠ Yes	□No	□ N/A	Remarks:	
5. Are X Numbers issued for a one-time use?	.⊠ Yes	☐ No	□ N/A	Remarks:	
6. Are prohibited services performed using an X Number?	Yes	⊠ No	□ N/A	Remarks:	
7. Are X Numbers used for the procurement of a service and not the purchase of a commodity?	⊠ Yes	□No	□ N/A	Remarks:	
Are X Numbers issued for telecommunications related services pre-approved by Telecommunications Section?	⊠ Yes	□No	□ N/A	Remarks:	
9. Do X Numbers used for facilities related services (such as roof repair, electrical) costing over \$1,000 have prior approval from Facilities Section?	⊠ Yes	□ No	□ N/A	Remarks:	
Do X Numbers issued for lapsed contractual agreements have prior approval by the appropriate Assistant Commissioner?	⊠ Yes	☐ No	□ N/A	Remarks:	
11. Do all X Numbers awarded to a non-small business vendor contain three price quotations?	⊠ Yes	☐ No	□ N/A	Remarks:	

COMMAND INSPECTION PROGRAM

INSPECTION CHECKLIST

Chapter 3, Command Procurements

X-Number Program

12	 Do all X Numbers awarded to a small business vendor contain the small business certification from the Department of General Services (DGS)? 	⊠ Yes	□ No	□ N/A	Remarks:
13	B. Does the file documentation contain the STD. 21 Drug Free workplace certification for X Number vendors?	⊠ Yes	□No	□ N/A	Remarks:
	Do emergency service X Numbers document and justify the emergency?	⊠ Yes	□No	□ N/A	Remarks:
15	. Is the itemized invoice for each X Number service maintained in the command's files?	⊠ Yes	□ No	□ N/A	Remarks:

1 of 2

STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements X-Number Program

Sonora	Central Division	002
Jeanie Keaster		12/19/2008
Assisted by:		Date:

TYPE OF INSPECTION	Lead Inspector's Signature:
☐ Division Level ☐ Command Level	
☐ Executive Office Level ☐ Voluntary Self-Inspe	Allake Bessel
Follow-up Required: ☐ Follow-up Inspecti	ion Commander's Signature: Date:
For applicable policy, refer to: HPM 11.1, Chapter 2	23
 Are multiple X Numbers awarded to the same ve to circumvent the \$4,999 contract limit? 	☐ Yes ☐ No ☐ N/A Remarks:
Does all X Number file documentation contain the STD. 204 Payee Data Record?	e ⊠ Yes □ No □ N/A Remarks:
3. Do X Numbers requiring a contract (i.e., janitorial landscaping) have prior approval from the Busine Services Section commander?	
4. Are X Number requests made prior to the date th services are performed?	e ⊠ Yes □ No □ N/A Remarks:
5. Are X Numbers issued for a one-time use?	☐ Yes ☐ No ☐ N/A Remarks:
Are prohibited services performed using an X Number?	☐ Yes ☐ No ☐ N/A Remarks:
7. Are X Numbers used for the procurement of a service and not the purchase of a commodity?	
8. Are X Numbers issued for telecommunications related services pre-approved by Telecommunications Section?	☐ Yes ☐ N/A Remarks: Initiated by Telecom Section.
9. Do X Numbers used for facilities related services (such as roof repair, electrical) costing over \$1,00 have prior approval from Facilities Section?	
10. Do X Numbers issued for lapsed contractual agreements have prior approval by the appropria Assistant Commissioner?	te Yes No N/A Remarks:

2 of 2

STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

	. Do all X Numbers awarded to a non-small business vendor contain three price quotations?	⊠ Yes	□ No	□ N/A	Remarks:
12.	Do all X Numbers awarded to a small business vendor contain the small business certification from the Department of General Services (DGS)?	⊠ Yes	☐ No	□ N/A	Remarks:
	Does the file documentation contain the STD. 21 Drug Free workplace certification for X Number vendors?	⊠ Yes	□ No	□ N/A	Remarks:
	Do emergency service X Numbers document and justify the emergency?	⊠ Yes	□No	□ N/A	Remarks:
15.	Is the itemized invoice for each X Number service maintained in the command's files?	⊠ Yes	☐ No	□ N/A	Remarks:

COMMAND INSPECTION PROGRAM EXCEPTIONS DOCUMENT

I	Command:
I	BUTTONWILLOW
I	BUTTONWILLOW (426)

Division: CENTRAL

Chapter:

Inspected by: MARIA PAGANO, OFFICER Date: 11-19-08

number of the inspection in the Chapt	ter Inspection number. Under "F his document shall be utilized to	ooxes as necessary, or fill in the blanks as indicate orward to: enter the next level of command who document innovative practices, suggestions for be used to appeal findings. A CHP 51 Memorations	ere the document statewide
TYPE OF INSPECTION		☐ Corrective₁Action Plan Included	
☐ Division Level ☐ Command	Level	Appeal Included	
Executive Office Level		Attachments Included	
Follow-up Required:	Forward to: CENTRAL DIVISION	Commander's Signature:	Date:
☐ Yes No	Due Date: 12-03-08	Illee I	11-26-08
Chapter Imspection	and the second of the second o		Sacres Selegara
Inspector's Comments Regar	rding Innovative Practice	S;	
Command Suggestions for St	atewide Improvement:		
140			

Inspector's Findings:

COMMAND INSPECTION PROGRAM

EXCEPTIONS DOCUMENT

Page 2

Command: Division: BUTTONWILLOW CENTRAL (426)		Chapter: 3
Inspected by:		Dale:
MARIA PAGANO, OFFICER		11-19-08

Commander's Response:		 _	
NO ACTION REQUIRED			

Inspector's Comments:		
INSDECTORS COMMENTS.		

:
Requiried Action

Corrective Action Plan/Timeline

COMMAND INSPECTION PROGRAM

EXCEPTIONS DOCUMENT

Page 3

Command: Division: CENTRAL (426)		Chapter: 3			
Inspected by: MARIA PAGANO, OFFICER		Date: 11-19-08			

Appeal Process (Appeals shall be filed within five (5) business da	ys of the completed chapter inspection).
Commander's Basis for Appeal:	
Annual Daview/Davielers (Fig. 1)	
Appeal Review/Decision: (This shall be the only level of appeal).	
Э.	
ead Inspector's Signature:	Date:
lesponding Commander's Signature (for appeal):	11-21-08
responding Commander's algitature (for appear):	Date:
The state of the s	

1 of 2

STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements X-Number Program

Command: BUTTONWILLOW (426)	Division: CENTRAL	Number:
Evaluated by: MARIA PAGANO, OFFICER		Date: 11-19-08
Assisted by: LORIE BERGER		Date: 11-19-08

TYPE OF INSPECTION	Lead Ins	pector's Signa	iture:	
☐ Division Level ☐ Command Level		0/100	Ω_{N}	_
☐ Executive Office Level ☐ Voluntary Self-Inspection	<u></u>	Maria	70	
Follow-up Required:	Comman	der's Signalur	e: ee_ °	Date: 11.26.08
For applicable policy, refer to: HPM 11.1, Chapter 23				
Are multiple X Numbers awarded to the same vendor to circumvent the \$4,999 contract limit?	☐ Yes	⊠ No	□ N/A	Remarks:
Does all X Number file documentation contain the STD. 204 Payee Data Record?	⊠ Yes	□ No	□ N/A	Remarks:
3. Do X Numbers requiring a contract (i.e., janitorial or landscaping) have prior approval from the Business Services Section commander?	☐ Yes	□No	⊠ N/A	Remarks: COMPLETED BY HEADQUARTERS
4. Are X Number requests made prior to the date the services are performed?	⊠ Yes	□No	□ N/A	Remarks:
5. Are X Numbers issued for a one-time use?	⊠ Yes	□No	□ N/A	Remarks:
6. Are prohibited services performed using an X Number?	⊠ Yes	□No	□ N/A	Remarks:
7. Are X Numbers used for the procurement of a service and not the purchase of a commodity?	⊠ Yes	□No	□ N/A	Remarks:
Are X Numbers issued for telecommunications related services pre-approved by Telecommunications Section?	☐ Yes	⊠ No	□ N/A	Remarks: NOT COMPLETED AT AREA LEVEL
9. Do X Numbers used for facilities related services (such as roof repair, electrical) costing over \$1,000 have prior approval from Facilities Section?	⊠ Yes	□No	□ N/A	Remarks:
10. Do X Numbers issued for lapsed contractual agreements have prior approval by the appropriate	⊠ Yes	□No	□ N/A	Remarks:

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Assistant Commissioner?				120
11. Do all X Numbers awarded to a non-small business vendor contain three price quotations?	⊠ Yes	□Ño	□ N/A	Remarks: OFFICE IN REMOTE AREA AND BUSINESS' UNWILLING TO RESPOND
12. Do all X Numbers awarded to a small business vendor contain the small business certification from the Department of General Services (DGS)?	⊠ Yes	☐ No	□ N/A	Remarks:
13. Does the file documentation contain the STD. 21 Drug Free workplace certification for X Number vendors?	⊠ Yes	☐ No	□ N/A	Remarks:
14. Do emergency service X Numbers document and justify the emergency?	⊠ Yes	□No	□ N/A	Remarks:
15. Is the itemized invoice for each X Number service maintained in the command's files?	⊠ Yes	□No	□ N/A	Remarks:

1 of 2

STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements X-Number Program

Command:	Division:	Number:
Fort Tejon	1	
Evaluated by:		Date:
D. Brooks		11/12/2008
Assisted by:		Date:

TYPE (OF INSPECTION		Lead Insp	ector's Signat	ure:	
☐ Div	vision Level	☐ Command Level				1
	ecutive Office Level	☐ Voluntary Self-Inspection		/	rael	A
F	ollow-up Required: ☐ Yes No	Follow-up Inspection	Command	der's Signature	on_	LT 11-13-08
For applicable policy, refer to: HPM 11.1, Chapter 23						
1.	Are multiple X Numbers to circumvent the \$4,99	awarded to the same vendor 9 contract limit?	☐ Yes	⊠ No	□ N/A	Remarks:
2.	Does all X Number file of STD. 204 Payee Data F	locumentation contain the ecord?	⊠ Yes	□No	□ N/A	Remarks:
3.		a contract (i.e., janitorial or approval from the Business ander?	⊠ Yes	□ No	□ N/A	Remarks:
4.	services are performed?		⊠ Yes	☐ No	□ N/A	Remarks:
5.	Are X Numbers issued for	or a one-time use?	⊠ Yes	□No	□ N/A	Remarks:
	Are prohibited services p Number?	ū	☐ Yes	⊠ No	□ N/A	Remarks:
	Are X Numbers used for service and not the purch	nase of a commodity?	⊠ Yes	□No	□ N/A	Remarks:
	Are X Numbers issued for related services pre-appr Telecommunications Sec	oved by tion?	⊠ Yes	☐ No	□ N/A	Remarks:
	have prior approval from	trical) costing over \$1,000 Facilities Section?	⊠ Yes	□ No	□N/A	Remarks:
	Do X Numbers issued for agreements have prior ap Assistant Commissioner?	proval by the appropriate	⊠ Yes	□ No	□ N/A	Remarks:

2 of 2

STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

	. Do all X Numbers awarded to a non-small business vendor contain three price quotations?	⊠ Yes	□No	□ N/A	Remarks:
12.	Do all X Numbers awarded to a small business vendor contain the small business certification from the Department of General Services (DGS)?	⊠ Yes	□ No	□ N/A	Remarks:
13.	Does the file documentation contain the STD. 21 Drug Free workplace certification for X Number vendors?	⊠ Yes	☐ No	□ N/A	Remarks:
	Do emergency service X Numbers document and justify the emergency?	⊠ Yes	□No	□ N/A	Remarks:
15.	Is the itemized invoice for each X Number service maintained in the command's files?	⊠ Yes	□ No	□ N/A	Remarks:

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements X-Number Program

Command	Division:	Number:
Hanford Area	Central Division	
Evaluated by:	<u> </u>	Date:
Doug Puder, ID	11/20/2008	
Assisted by:		Date:

TYPE OF INSPECTION	Lead Insp	ector's Signat	ure:	26
☐ Division Level ☐ Command Level			\supset 0	,
☐ Executive Office Level ☐ Voluntary Self-Inspection	CL	au (Tuo	
Follow-up Required:	Command	ler's Signáture	melle	Date: 11/20/2008
For applicable policy, refer to: HPM 11.1, Chapter 23		0		•
 Are multiple X Numbers awarded to the same vendor to circumvent the \$4,999 contract limit? 	☐ Yes	No No	□ N/A	Remarks:
2 Does all X Number file documentation contain the STD, 204 Payee Data Record?	☐ Yes	⊠ No	□ N/A	Remarks: CHP 78X indicates STD 204 forms on file. However, STD 204 forms could not be located.
3. Do X Numbers requiring a contract (i.e., janitorial or landscaping) have prior approval from the Business Services Section commander?	Yes	□ No	⊠ N/A	Remarks:
4. Are X Number requests made prior to the date the services are performed?	X Yes	□No	□ N/A	Remarks:
5. Are X Numbers issued for a one-time use?	🖄 Yes	□No	□ N/A	Remarks:
Are prohibited services performed using an X Number?	Yes	∭ No	□ N/A	Remarks:
7. Are X Numbers used for the procurement of a service and not the purchase of a commodity?	X Yes	□No	□ N/A	Remarks:
Are X Numbers issued for telecommunications related services pre-approved by Telecommunications Section?	Yes	□No	□ N/A	Remarks:
9. Do X Numbers used for facilities related services (such as roof repair, electrical) costing over \$1,000 have prior approval from Facilities Section?	X Yes	□No	□ N/A	Remarks
Do X Numbers issued for lapsed contractual agreements have prior approval by the appropriate Assistant Commissioner?	Yes	□ No	⊠ N/A	Remarks:

2 of 2

STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

COMMAND INSPECTION PROGRAM **INSPECTION CHECKLIST**

Chapter 3, Command Procurements

X-Number Program

11. Do all X Numbers awarded to a non-small business vendor contain three price quotations?	☐ Yes	Mио	□ N/A	Remarks: Sole source bidders were identified. However, this was justified in section 14 of CHP 78X form.
12. Do all X Numbers awarded to a small business vendor contain the small business certification from the Department of General Services (DGS)?	☐ Yes	Йио	□ N/A	Remarks: Invoices contained the Small Business Certification number. However, no certification letters or printouts from the DGS website could be located.
13. Does the file documentation contain the STD. 21 Drug Free workplace certification for X Number vendors?	☐ Yes	⊠ио	□ N/A	Remarks: CHP 78X indicates STD 21 forms on file. However, STD 21 forms could not be located.
14. Do emergency service X Numbers document and justify the emergency?	Ø Yes	□No	□ N/A	Remarks:
15. Is the itemized invoice for each X Number service maintained in the command's files?	Yes	□No	□ N/A	Remarks:

COMMAND INSPECTION PROGRAM EXCEPTIONS DOCUMENT

Command	Division:	Chapter:
Hanford Area	Central Division	3 – X-Numbers
Inspected by:		Date:
Doug Puder, ID	10045	11/20/2008

INSTRUCTIONS: This document shall be typed. Check appropriate boxes as necessary, or fill in the blanks as indicated. Enter the chapter number of the inspection in the Chapter Inspection number. Under "Forward to:" enter the next level of command where the document shall be routed to and its due date. This document shall be utilized to document innovative practices, suggestions for statewide improvement, identified deficiencies, corrective action plans, and may be used to appeal findings. A CHP 51 Memorandum may be used if additional space is required.

TYPE OF INSPECTION		Corrective Action Plan Included		
☐ Division Level ☐ Command Level		Appeal Included		
Executive Office Level		Attachments Included		
Follow-up Required:	Forward to: CENTRAL DIVISION	Commander's Signature:	Date:	
Yes 🗆 No	Due Date:	Dans Trelle, 15.	11/20/2008	
Chapter Inspection:		Killer I reflect synapet red to his		
nastro de alto Como de la Como de	endormal in the freeze the sound of	(1907) in a few places of the property of the contract of the	and the second of the second o	
Inspector's Comments Reg	garding Innovative Practice	es:		

None identified.

Command Suggestions for Statewide Improvement:

The forms provided for this evaluation, as well as the instructions for completing these forms, are not adequate to ensure a uniform review of this subject has been conducted. As currently written, the instructions for completing this form allow for responses which are far too subjective to provide a meaningful evaluation of all commands.

The instructions for each item to be reviewed should be sufficiently expanded so as to make them very specific, comprehensive and easy for the Inspector to understand. The instructions should list exactly which documents or processes need to be examined, they should list specifically what the Inspector should be looking for, and they should provide solid examples of what is appropriate and what isn't appropriate. The instructions should be written in sufficient detail so as to make the inspection forms "stand alone" documents. References to other publications (i.e., SAM manual, Government Code, Department policy, etc.,) may be provided to answer obscure questions that may arise. However, an Inspector should definitely not be required to reference these types of sources on a routine basis in order to complete the inspection forms.

Inspector's Findings:		1100	 ***************************************	100-100-0	(-1,1
mopostor or mangs.					

See Attachment (Page 4).

COMMAND INSPECTION PROGRAM

EXCEPTIONS DOCUMENT Page 2

	Command:	Division:	Chapter:
	Hanford Area	Central Division	3 – X-Numbers
1	Inspected by:		Date:
	Doug Puder, ID	10045	11/20/2008

Commander's Response:

Concur with Inspector's findings.

Inspector's Comments:

N/A

Required Action

Corrective Action Plan/Timeline

Officer Maurice Teliha, ID 15975, recently assumed the duties and responsibilities of Area's X-Number Coordinator. He received procurement training from the Department on September 16, 2008. This training will help to ensure all of our X-Number transactions are being conducted in accordance with state law and Department policy.

Effective immediately, Officer Teliha will be responsible for ensuring all of our X-Number transactions are being conducted in accordance with state law and Department policy. Specifically, he will obtain an adequate number of bids in order to ensure the Department is getting the service performed for the lowest possible cost. He will also ensure all X-Number transactions are appropriately documented and explained on the CHP 78X before they are forwarded to the Area Commander for final Area approval. The aforementioned review process will begin immediately and will be utilized to process all X-Number transactions initiated by the Hanford Area as of today's date (11/20/2008).

COMMAND INSPECTION PROGRAM EXCEPTIONS DOCUMENT

Page 3

Command: Division: Chapter: 3 – X-Numbers
Inspected by: Date: 11/20/2008

Appeal Process: (Appeals shall be filed within five (5) to	business days of the completed chapter inspection).
Commander's Basis for Appeal:	etroner skammativen formalisme († 1994).
N/A	
g.	
. W.	
8	
Appeal Review/Decision: (This shall be the only level of	of appeal).

Date:

Date:

11/20/2008

Lead Inspector's Signature.

Responding Commando's Signature (for appeal):

STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

COMMAND INSPECTION PROGRAM

EXCEPTIONS DOCUMENT

Page 4

Inspector's Findings:

Hanford Area's X-Number files and CHP 78B (X-Number Logs) for 2006 and 2007 were reviewed. The following discrepancies were noted during the review:

- Failure to uniformly include copies of the STD 204 form (Payee Data Record) in the file even though the CHP 78X form indicated the STD 204 form was in the file.
- Failure to uniformly include copies of the STD 21 form (Drug free workplace certification) in the file even though the CHP 78X form indicated the STD 21 form was in the file.
- A copy of each contractor's Small Business Certification letter could not be located in the X-Number file.

1 of 2

STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements X-Number Program

Command: Madera	Division: Central	Number: 450
Evaluated by: Lieutenant P	aris	Date: 12/22/2008
Assisted by:		Date:

TYPE (OF INSPECTION		Lead Inspector's Signature:				
☐ Div	vision Level	□ Command Level					
☐ Ex	ecutive Office Level	☐ Voluntary Self-Inspection					
Fo	ollow-up Required:	☐ Follow-up Inspection	Command	er's Signature) ;		Date:
] Yes 🔯 No		D	Lan			12/22/08
For a	oplicable policy, refer to	: HPM 11.1, Chapter 23					
1.	Are multiple X Numbers to circumvent the \$4,999	awarded to the same vendor 9 contract limit?	☐ Yes	⊠ No	□ N/A	Remarks:	70.
2.	Does all X Number file of STD. 204 Payee Data R	locumentation contain the ecord?	⊠ Yes	□No	□ N/A	Remarks:	-
3.		a contract (i.e., janitorial or approval from the Business ander?	⊠ Yes	□ No	□ N/A	Remarks:	
4.	Are X Number requests services are performed?	made prior to the date the	⊠ Yes	□No	□ N/A	Remarks:	
5.	Are X Numbers issued for		⊠ Yes	□No	□ N/A	Remarks:	
	Are prohibited services p Number?	_	☐ Yes	⊠ No	□ N/A	Remarks:	
7.	Are X Numbers used for service and not the purch	nase of a commodity?	⊠ Yes	□ No	□ N/A	Remarks:	
8.	Are X Numbers issued for related services pre-applications Section 1.	oved by ction?	☐ Yes	⊠ No	□ N/A	Remarks:	
9.	Do X Numbers used for f (such as roof repair, electhave prior approval from	trical) costing over \$1,000	⊠ Yes	□ No	□ N/A	Remarks:	1
10.	Do X Numbers issued for agreements have prior a Assistant Commissioner	oproval by the appropriate	☐Yes	□No	⊠ N/A	Remarks: Ha	s not occurred.

2 of 2

STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

11. Do all X Numbers awarded to a non-small business vendor contain three price quotations?	⊠ Yes	☐ No	□ N/A	Remarks:
12. Do all X Numbers awarded to a small business vendor contain the small business certification from the Department of General Services (DGS)?	⊠ Yes	□ No	□ N/A	Remarks:
13. Does the file documentation contain the STD. 21 Drug Free workplace certification for X Number vendors?	⊠ Yes	□ No	□ N/A	Remarks:
14. Do emergency service X Numbers document and justify the emergency?	⊠ Yes	□ No	□ N/A	Remarks:
15. Is the itemized invoice for each X Number service maintained in the command's files?	⊠ Yes	□ No	□ N/A	Remarks:

1 of 2

STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements X-Number Program

Command: Mariposa	Division:	Number:
Evaluated by:	Central	455-08-002 Date:
Sgt. Edward	12/24/2008	
Assisted by: OSS-1 Carrie	Date: 12/24/2008	

TYPE OF INSPECTION Lead Inspector's Signature:							
			Lead Inspector's Signature:				
	Division Level	⊠ Command Level	_	· La		المر الم	E/12 8 1
	xecutive Office Level	☐ Voluntary Self-Inspection) -			·
F	Follow-up Required: ☐ Yes	Follow-up Inspection	Command	de 's Signatur	Qui		Date: 12- 29- 68
		: HPM 11.1, Chapter 23					1111
	to circumvent the \$4,999		☐ Yes	⊠ No	□ N/A	Remarks:	
2	STD. 204 Payee Data R		⊠ Yes	□No	□ N/A	Remarks:	
3.	Do X Numbers requiring landscaping) have prior Services Section comma	a contract (i.e., janitorial or approval from the Business ander?	☐ Yes	□No	⊠ N/A	Remarks: N	o contracts.
	Are X Number requests services are performed?		⊠ Yes	□No	□ N/A	Remarks:	
5.			⊠ Yes	□No	□ N/A	Remarks:	
	Are prohibited services p Number?		☐ Yes	⊠ No	□ N/A	Remarks:	
	Are X Numbers used for service and not the purch	ase of a commodity?	⊠ Yes	□ No	□ N/A	Remarks:	
	Are X Numbers issued for related services pre-appropriate of the services pre-appropriate of the services of t	oved by tion?	⊠ Yes	□No	□ N/A	Remarks:	
9.	have prior approval from l	rical) costing over \$1,000 Facilities Section?	⊠ Yes	□ No	□ N/A	Remarks:	
10.	Do X Numbers issued for agreements have prior ap Assistant Commissioner?	lapsed contractual proval by the appropriate	☐ Yes	□ No	⊠ N/A	Remarks: N	o contracts.

2 of 2

STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Do all X Numbers awarded to a non-small business vendor contain three price quotations?	⊠ Yes	□ No	□ N/A	Remarks: When possible.
12. Do all X Numbers awarded to a small business vendor contain the small business certification from the Department of General Services (DGS)?	⊠ Yes	□ No	□ N/A	Remarks:
Does the file documentation contain the STD. 21 Drug Free workplace certification for X Number vendors?	⊠ Yes	□ No	□ N/A	Remarks:
14. Do emergency service X Numbers document and justify the emergency?	⊠ Yes	□ No	□ N/A	Remarks:
15. Is the itemized invoice for each X Number service maintained in the command's files?	⊠ Yes	□No	□ N/A	Remarks:

1 of 2

STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements X-Number Program

Command: Merced (460)	Division: Central (401)	Number:
Evaluated by: G. Lamerson	.07	Date: 12/17/2008
Assisted by: Rafaela Gonza	les, OSS I	Date: 12/17/2008

TYPE	OF INSPECTION		Lead Inspe	ctor's Signati	îre:)	
☐ Div	rision Level	☑ Command Level		(_	1:	1
	ecutive Office Level	☐ Voluntary Self-Inspection	1.0	A. Co	and by	LT.
Fo	ollow-up Required: ☐Yes ⊠ No	Follow-up Inspection	Commande	er's Signature	/ rol	Date: 12/18/08
For a	oplicable policy, refer to	o: HPM 11.1, Chapter 23				/ /
1.	Are multiple X Numbers to circumvent the \$4,99	s awarded to the same vendor 9 contract limit?	☐ Yes	⊠ No	□ N/A	Remarks:
2.	Does all X Number file STD. 204 Payee Data I	documentation contain the Record?	⊠ Yes	□ No	□ N/A	Remarks: STD 204, STD 201 in Lt. Troxell's office
3.		g a contract (i.e., janitorial or approval from the Business ander?	⊠ Yes	□ No	□ N/A	Remarks:
4.	Are X Number requests services are performed	made prior to the date the	⊠ Yes	□No	□ N/A	Remarks:
5.	Are X Numbers issued		⊠ Yes	□ No	□ N/A	Remarks:
6.	Are prohibited services Number?	performed using an X	☐ Yes	⊠ No	□ N/A	Remarks:
7.	Are X Numbers used fo service and not the pure		⊠ Yes	□ No	□ N/A	Remarks:
8.	Are X Numbers issued to related services pre-appreciated services pre-appreciations Services (Services Services Services Services Services Services Services (Services Services Service	proved by	⊠ Yes	□ No	□ N/A	Remarks:
9.	(such as roof repair, ele have prior approval fron		⊠ Yes	□ No	□ N/A	Remarks: Facilities Section completes all X numbers regardless of cost.
10.	Do X Numbers issued for agreements have prior a Assistant Commissioner	approval by the appropriate	☐ Yes	□ No	⊠ N/A	Remarks:

2 of 2

STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

	. Do all X Numbers awarded to a non-small business vendor contain three price quotations?	⊠ Yes	☐ No	□ N/A	Remarks:
12	Do all X Numbers awarded to a small business vendor contain the small business certification from the Department of General Services (DGS)?	⊠ Yes	□ No	□ N/A	Remarks: OSDS II and Certification from DGS included with all X numbers that are SB/MB/VET
13.	Does the file documentation contain the STD. 21 Drug Free workplace certification for X Number vendors?	⊠ Yes	□ No	□ N/A	Remarks:
	Do emergency service X Numbers document and justify the emergency?	⊠ Yes	□No	□ N/A	Remarks:
15.	Is the itemized invoice for each X Number service maintained in the command's files?	⊠ Yes	□ No	□ N/A	Remarks:

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements X-Number Program

Command: Los Banos	Division: Central	Number:	
Evaluated by: Sergeant Kevi	Date: 4/22/2009		
Assisted by: Jill Briozo – O	Date: 4/22/2009		

TYPE OF INSPECTION	Lead Insp	ector's Signa	ture:	
☐ Division Level ☐ Command Level				
☐ Executive Office Level ☐ Voluntary Self-Inspection			the control of the control	
Follow-up Required:	Command	ler's Signatur	B:	1/28/69
For applicable policy, refer to: HPM 11.1, Chapter 23				
 Are multiple X Numbers awarded to the same vendor to circumvent the \$4,999 contract limit? 	☐ Yes	⊠ No	□ N/A	Remarks:
Does all X Number file documentation contain the STD. 204 Payee Data Record?	⊠ Yes	☐ No	□ N/A	Remarks:
3. Do X Numbers requiring a contract (i.e., janitorial or landscaping) have prior approval from the Business Services Section commander?	⊠ Yes	□ No	□ N/A	Remarks:
Are X Number requests made prior to the date the services are performed?	⊠ Yes	□ No	□ N/A	Remarks
5. Are X Numbers issued for a one-time use?	⊠ Yes	□ No	□ N/A	Remarks:
6. Are prohibited services performed using an X Number?	☐ Yes	⊠ No	□ N/A	Remarks:
7. Are X Numbers used for the procurement of a service and not the purchase of a commodity?	⊠ Yes	☐ No	□ N/A	Remarks:
Are X Numbers issued for telecommunications related services pre-approved by Telecommunications Section?	⊠ Yes	□ No	□ N/A	Remarks: Per H.Q. approval.
9. Do X Numbers used for facilities related services (such as roof repair, electrical) costing over \$1,000 have prior approval from Facilities Section?	⊠ Yes	□No	□ N/A	Remarks:
Do X Numbers issued for lapsed contractual agreements have prior approval by the appropriate Assistant Commissioner?	☐ Yes	□ No	⊠ N/A	Remarks:

2 of 2

STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

11. Do all X Numbers awarded to a non-small business vendor contain three price quotations?	☐ Yes	⊠ No	□ N/A	Remarks: Being a small rural Area 3 vendors not always available.
12. Do all X Numbers awarded to a small business vendor contain the small business certification from the Department of General Services (DGS)?	⊠ Yes	□ No	□ N/A	Remarks:
13. Does the file documentation contain the STD. 21 Drug Free workplace certification for X Number vendors?	⊠ Yes	□ No	□ N/A	Remarks:
14. Do emergency service X Numbers document and justify the emergency?	⊠ Yes	□ No	□ N/A	Remarks:
15. Is the itemized invoice for each X Number service maintained in the command's files?	⊠ Yes	□ No .	□ N/A	Remarks:

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements X-Number Program

Command:	Division:	Number:
Chowchilla		
River I.F	Central	464
Evaluated by:		Date:
Sergeant P.E S	peers # 9724	12/30/2008
Assisted by:		Date:

1 of 2

Page

TYPE 0	F INSPECTION		Lead Inspe	ector's Signatu	ıre:		
☐ Div	ision Level	☑ Command Level	رِسُد	20			
☐ Exe	ecutive Office Level	☐ Voluntary Self-Inspection		E fo			
	llow-up Required:] Yes ⊠ No	☐ Follow-up Inspection	Command ACTIN	er's Signature		vue	Date: 12/30/2008
For ap	pplicable policy, refer to	o: HPM 11.1, Chapter 23					
1.	Are multiple X Numbers to circumvent the \$4,99	s awarded to the same vendor 9 contract limit?	☐ Yes	⊠ No	□ N/A	Remarks:	
2.	Does all X Number file STD. 204 Payee Data I	documentation contain the Record?	⊠ Yes	☐ No	□ N/A	Remarks:	
3.		g a contract (i.e., janitorial or approval from the Business ander?	⊠ Yes	□No	□ N/A	Remarks:	
4.	services are performed		⊠ Yes	□No	□ N/A	Remarks:	
5.	Are X Numbers issued	or a one-time use?	⊠ Yes	□No	□ N/A	Remarks:	
6.	Are prohibited services Number?	performed using an X	Yes	⊠ No	□ N/A	Remarks:	
7.	Are X Numbers used for service and not the pure		⊠ Yes	□No	□ N/A	Remarks:	
	Are X Numbers issued frelated services pre-app Telecommunications Se	roved by	☐ Yes	⊠ No	□ N/A	Remarks:	
		facilities related services ctrical) costing over \$1,000 a Facilities Section?	⊠ Yes	□No	□ N/A	Remarks:	
	Do X Numbers issued for agreements have prior a Assistant Commissioner	pproval by the appropriate	☐ Yes	□No	⊠ N/A	Remarks:	

2 of 2

STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

11. Do all X Numbers awarded to a non-small business vendor contain three price quotations?	☐ Yes	⊠ No	□ N/A	Remarks: Attempts are made, however vendors refuse to respond to our area.
12. Do all X Numbers awarded to a small business vendor contain the small business certification from the Department of General Services (DGS)?	⊠ Yes	□ No	□ N/A	Remarks:
13. Does the file documentation contain the STD. 21 Drug Free workplace certification for X Number vendors?	⊠ Yes	☐ No	□ N/A	Remarks:
14. Do emergency service X Numbers document and justify the emergency?	⊠ Yes	☐ No	□ N/A	Remarks:
15. Is the itemized invoice for each X Number service maintained in the command's files?	⊠ Yes	□No	□ N/A	Remarks:

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements X-Number Program

Command:	Division:	Number:
Modesto (465)	Central (401)	
Evaluated by:		Date:
Captain L. Duncan, 13406		12.15.08
Assisted by:	3	Date:
OSS1 H. Koelm	ans, A6008	12.15.08

1 of 2

Page

TYPE OF INSPECTION		Lead Insp	ector's Signat	ure:		
☐ Division Level			-			
☐ Executive Office Lev	el Voluntary Self-Inspection			$, \mathcal{Q}$		12.14.08
Follow-up Requi		Command	er's Signature	ے۔		Date:
For applicable policy,	refer to: HPM 11.1, Chapter 23					
	lumbers awarded to the same vendor e \$4,999 contract limit?	Yes	⊠ No	□ N/A	Remarks:	
2. Does all X Num STD. 204 Payer	per file documentation contain the earlie Data Record?	⊠ Yes	□ No	. □ N/A	Remarks:	
	equiring a contract (i.e., janitorial or ve prior approval from the Business n commander?	⊠ Yes	☐ No	□ N/A	Remarks:	
4. Are X Number re services are per	equests made prior to the date the formed?	⊠ Yes	□ No	□ N/A	Remarks:	
5. Are X Numbers	ssued for a one-time use?	⊠ Yes	□No	□ N/A	Remarks:	
6. Are prohibited se Number?	ervices performed using an X	Yes	⊠ No	□ N/A	Remarks:	
	used for the procurement of a he purchase of a commodity?	⊠ Yes	□No	□ N/A	Remarks:	
Are X Numbers i related services Telecommunicat		⊠ Yes	□No	□ N/A	Remarks:	24
(such as roof rep	sed for facilities related services air, electrical) costing over \$1,000 /al from Facilities Section?	⊠ Yes	□ No	□ N/A	Remarks:	*
	sued for lapsed contractual prior approval by the appropriate ssioner?	☐ Yes	□ No	⊠ N/A	Remarks:	

2 of 2

STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

11. Do all X Numbers awarded to a non-small business vendor contain three price quotations?	⊠ Yes	□No	□ N/A	Remarks: Whenever available,
12. Do all X Numbers awarded to a small business vendor contain the small business certification from the Department of General Services (DGS)?	⊠ Yes	□ No	□ N/A	Remarks:
13. Does the file documentation contain the STD. 21 Drug Free workplace certification for X Number vendors?	⊠ Yes	□ No	□ N/A	Remarks:
14. Do emergency service X Numbers document and justify the emergency?	⊠ Yes	□ No	□ N/A	Remarks:
15. Is the itemized invoice for each X Number service maintained in the command's files?	⊠ Yes	□ No	□ N/A	Remarks:

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements X-Number Program

Command:	Division:	Number:	
Evaluated by:		Date:	
Assisted by:		Date:	

1 of 2

Page

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected. TYPE OF INSPECTION Lead Inspector's Signature: Leah Shires, Clerical Supervisor □ Command Level Division Level □ Voluntary Self-Inspection ☐ Executive Office Level Commander's Signature: Date: Follow-up Inspection Follow-up Required: 04/22/2009 Lieutenant James Swearingen Yes No For applicable policy, refer to: HPM 11.1, Chapter 23 Are multiple X Numbers awarded to the same vendor Remarks: ☐ Yes X No □ N/A to circumvent the \$4,999 contract limit? Does all X Number file documentation contain the Remarks: ⊠ Yes □ No □ N/A STD. 204 Payee Data Record? Do X Numbers requiring a contract (i.e., janitorial or Remarks: Yes No N/A landscaping) have prior approval from the Business Services Section commander? Are X Number requests made prior to the date the Remarks: services are performed? X Yes No □ N/A Are X Numbers issued for a one-time use? Remarks: □ N/A ⊠ Yes No 6. Are prohibited services performed using an X Remarks: ⋈ No □ N/A Number? Yes 7. Are X Numbers used for the procurement of a Remarks: ∀es ☐ No □ N/A service and not the purchase of a commodity? Are X Numbers issued for telecommunications Remarks: N/A Yes No related services pre-approved by Telecommunications Section? Do X Numbers used for facilities related services Remarks: X Yes ☐ No □ N/A (such as roof repair, electrical) costing over \$1,000 have prior approval from Facilities Section? 10. Do X Numbers issued for lapsed contractual Remarks: ☐ No N/A ⊠ Yes agreements have prior approval by the appropriate Assistant Commissioner?

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements X-Number Program

11	Do all X Numbers awarded to a non-small business vendor contain three price quotations?	⊠ Yes	□No	□ N/A	Remarks:
12	Do all X Numbers awarded to a small business vendor contain the small business certification from the Department of General Services (DGS)?	⊠ Yes	□ No	□ N/A	Remarks:
13.	Does the file documentation contain the STD, 21 Drug Free workplace certification for X Number vendors?	⊠ Yes	□No	□ N/A	Remarks:
14.	Do emergency service X Numbers document and justify the emergency?	⊠ Yes	□No	□ N/A	Remarks:
15.	Is the itemized invoice for each X Number service maintained in the command's files?	⊠ Yes	☐ No	□ N/A	Remarks:

STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

COMMAND INSPECTION PROGRAM

EXCEPTIONS DOCUMENT	COMMAND INSPECTION PROGRA
EXOLI HONO DOCOMENT	EXCEPTIONS DOCUMENT

Pag	e 1	of	2
· · · · ·		-	

Command:	Division:	Chapter:
Porterville	Central	3
Area	Division	
Inspected by Leah S	Shiers OSSI	Date: 04/22/2009

INSTRUCTIONS: This document shall be number of the inspection in the Chapter shall be routed to and its due date. This mprovement, identified deficiencies, cor	Inspection	on number. Under "Forw ent shall be utilized to doc	ard to:" enter the nex ument innovative pra	t level of command where the docum actices, suggestions for statewide	chapter ent	
TYPE OF INSPECTION ☐ Division Level ☐ Command Level ☐ Executive Office Level		Total hours expende inspection: 1 Hour	d on the	☐ Corrective Action Plan Included ☐ Attachments Included		
Follow-up Required:	Forwa)¥	a 1 kg a a a a			
Chapter Inspection:	1 7 1	Commence. But	the second	50 y x		
Inspector's Comments Regar	ding Ir	nnovative Practices);			
Command Suggestions for St	atewio	de Improvement:				
Inspector's Findings:						
After reviewing the chapter 3 inspection (Command Procurement Contracts) question # 25 should have been checked yes. The janitorial supervisors are finger printed through their employer. Criminal histories are run on all developmentally disabled employees prior to conducting any services at the area office. Chapter 3 inspection (X Numbers), question #8, these numbers are now issued by Telecom not division and question #9, all facilities related services are now issued by facilities.						
Commander's Response: ⊠	Concu	ır or □ Do Not Cor	ncur (Do Not Cond	our shall document basis for respo	onse)	
Inspector's Comments: Shall a etc.)	address	non concurrence by o	commander (e.g., f	indings revised, findings unchang	jed,	

COMMAND INSPECTION PROGRAM

EXCEPTIONS DOCUMENT

Page 2 of 2

Command:	Division:	Chapter:
Porterville	Central	3
Area	Division	
Inspected by Leah \$	Shiers OSSI	Date: 04/22/2009

Required Action	
Required Action	
Corrective Action Plan/Timeline	

	$\bigcap_{\alpha} V$	
Employee would like to discuss this report with the reviewer. (See HPM 9.1, Chapter 8 for appeal procedures	COMMANDER'S SIGNATURE	6/12/2009
(occ 111 M. c. 11 enapter a tel appear process	INSPECTOR'S SIGNATURE	DATE
Reviewer discussed this report with employee	REVIEWER'S SIGNATURE	DATE

STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

Command: Division: Number:

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements X-Number Program

Command: Division: Coalinga Area Central		Number: 495	
Evaluated by:	Date:		
R. Brunell, Serg	12/10/08		
Assisted by:	Date:		

1 of 2

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

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TYPE (OF INSPECTION	Lead Insp	ector's Signat	ure:	2010
☐ Div	vision Level			¥i	# W
☐ Ex	ecutive Office Level	1	J Bm	P	
1	ollow-up Required: ☐ Follow-up Inspection ☐ Yes ☐ No	Command	er's Signature	9 :	Date: 12/22/08
	oplicable policy, refer to: HPM 11.1, Chapter 23				
1.	Are multiple X Numbers awarded to the same vendor to circumvent the \$4,999 contract limit?	☐ Yes	⊠ No	□ N/A	Remarks:
2.	Does all X Number file documentation contain the STD. 204 Payee Data Record?	☐ Yes	⊠ No	□ N/A	Remarks: Missing for Ultrex, MPC, and Gateway Computers.
3.	Do X Numbers requiring a contract (i.e., janitorial or landscaping) have prior approval from the Business Services Section commander?	⊠ Yes	□ No	□ N/A	Remarks:
4.	Are X Number requests made prior to the date the services are performed?	⊠ Yes	□ No	□ N/A	Remarks: With one exception.
5.	Are X Numbers issued for a one-time use?	⊠ Yes	□ No	□ N/A	Remarks:
6.	Number?	☐ Yes	⊠ No	□ N/A	Remarks:
7.	Are X Numbers used for the procurement of a service and not the purchase of a commodity?	⊠ Yes	□ No	□ N/A	Remarks:
8.	Are X Numbers issued for telecommunications related services pre-approved by Telecommunications Section?	☐ Yes	□No	⊠ N/A	Remarks: None on file.
9.	Do X Numbers used for facilities related services (such as roof repair, electrical) costing over \$1,000 have prior approval from Facilities Section?	⊠ Yes	□ No	□ N/A	Remarks:
10.	Do X Numbers issued for lapsed contractual agreements have prior approval by the appropriate Assistant Commissioner?	☐ Yes	□No	⊠ N/A·	Remarks:

Page

2 of 2

STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements X-Number Program

11	. Do all X Numbers awarded to a non-small business vendor contain three price quotations?	Yes	⊠ No	□ N/A	Remarks: Not under emergency circumstances, sole source, or when potential vendors refuse to bid.
12	Do all X Numbers awarded to a small business vendor contain the small business certification from the Department of General Services (DGS)?	☐ Yes	⊠ No	□ N/A	Remarks: CA Redding Company, Inc.
13.	Does the file documentation contain the STD. 21 Drug Free workplace certification for all X Number vendors?	☐ Yes	⊠ No	□ N/A	Remarks: Ultrex, MPC, and Gateway Computers.
14.	Do emergency service X Numbers document and justify the emergency?	⊠ Yes	□ No	□ N/A	Remarks:
15.	Is the itemized invoice for each X Number service maintained in the command's files?	⊠ Yes	□ No	□ N/A	Remarks:

COMMAND INSPECTION PROGRAM

EXCEPTIONS DOCUMENT

Command:	Division:	Chapter:
Coalinga Area	Central	3 – X Number
Inspected by: R. Brunell, Serg	eant, ID 14612	Date: 12/10/08

INSTRUCTIONS: This document shall be typed. Check appropriate boxes as necessary, or fill in the blanks as indicated. Enter the chapter number of the inspection in the Chapter Inspection number. Under "Forward to:" enter the next level of command where the document shall be routed to and its due date. This document shall be utilized to document innovative practices, suggestions for statewide improvement, identified deficiencies, corrective action plans, and may be used to appeal findings. A CHP 51 Memorandum may be used if additional space is required. TYPE OF INSPECTION Corrective Action Plan Included ☐ Division Level ☐ Command Level Appeal Included ☐ Executive Office Level Attachments included Date: Commander's Signature: Forward to: Follow-up Required: ⊠ Yes □ No Due Date: Chapter Inspection: Inspector's Comments Regarding Innovative Practices: None Identified. Command Suggestions for Statewide Improvement:

Coalinga Area's X Number Program files were reviewed and the following items and/or discrepancies were noted:

- The files did not contain the STD. 204 or STD. 21 for Ultrex, MPC, or Gateway Computers.
- In one instance, an X Number was not obtained until after services were performed. This occurred as a result of an error on the part of a repairman. The repairman was requested to provide an estimate to repair the HVAC system and he performed the repair without authorization. Area submitted an X Number request through proper channels and obtained approval after the fact.

Inspector's Findings:

COMMAND INSPECTION PROGRAM

EXCEPTIONS DOCUMENT

Page 2

Command: Division: Coalinga Area Central		Chapter: 3 – X Number
Inspected by:		Date:
R. Brunell, Sergeant, ID 14612		12/10/08

Inspector's	Findings	(continued):
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• The files did not contain the DGS small business certification for the vendor CA Redding Company, Inc.

Commander's Response:

Concur with Inspector's findings.

Inspector's Comments:

None.

Required/Action

Corrective Action Plan/Timeline

The Area's X Number Coordinator, Sergeant Larkin Vander Mel, will be responsible for ensuring all X Number transactions are conducted in accordance with state law and Department policy. Specifically, he will ensure all required documents are obtained for vendors.

COMMAND INSPECTION PROGRAM

EXCEPTIONS DOCUMENT

Page 3

Command: Division: Chapter: 3 – X Number
Inspected by: Date:
R. Brunell, Sergeant, ID 14612 12/10/08

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	COSS ((Appeals shall be filled wit	hin(five (5) businessidays	of the completed chapte	Inspection)
Commande	er's Basis for Appeal:			
N/A				
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· 15				
Appeal Rev	iew/Decision: (This shall be th	e only level of appeal).		1964 - 44 J - 44 J - 44 J - 45
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esponding Comma	ander's Signature (for appeal):		Date:	

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements X-Number Program

Command: Fresno	Division: Central	Number:
Evaluated by:	.lBaker, #14410	Date: 4-22-2009
Assisted by:		Date:

1 of 2

Page `

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

TYPE OF INSPECTION	Lead Inspector's Signature:		
☐ Division Level ☐ Command Level	Q B. SET.		
☐ Executive Office Level ☐ Voluntary Self-Inspection			
Follow-up Required: Follow-up Inspection Yes No	Gammander's Signature: Date: 4/22/09		
For applicable policy, refer to: HPM 11.1, Chapter 23	See attached for additional comments.		
Are multiple X Numbers awarded to the same vendor to circumvent the \$4,999 contract limit?	☐ Yes No ☐ N/A Remarks:		
Does all X Number file documentation contain the STD. 204 Payee Data Record?	Yes No N/A Remarks:		
3. Do X Numbers requiring a contract (i.e., janitorial or landscaping) have prior approval from the Business Services Section commander?	☐ Yes ☐ No No N/A Remarks:		
Are X Number requests made prior to the date the services are performed?	Yes No N/A Remarks:		
5. Are X Numbers issued for a one-time use?	Yes No N/A Remarks:		
Are prohibited services performed using an X Number?	☐ Yes 🛮 No ☐ N/A Remarks:		
Are X Numbers used for the procurement of a service and not the purchase of a commodity?	Yes No N/A Remarks:		
Are X Numbers issued for telecommunications related services pre-approved by Telecommunications Section?	☐ Yes ☐ No ☑ N/A Remarks:		
Do X Numbers used for facilities related services (such as roof repair, electrical) costing over \$1,000 have prior approval from Facilities Section?	Yes No N/A Remarks:		
Do X Numbers issued for lapsed contractual agreements have prior approval by the appropriate Assistant Commissioner?	☐ Yes ☐ No N/A Remarks:		

Page

2 of 2

STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements X-Number Program

11.	Do all X Numbers awarded to a non-small business vendor contain three price quotations?	⊠Yes	□ No	□ N/A	Remarks:
12.	Do all X Numbers awarded to a small business vendor contain the small business certification from the Department of General Services (DGS)?	∑ Yes	□ No	□ N/A	Remarks:
13.	Does the file documentation contain the STD. 21 Drug Free workplace certification for X Number vendors?	⊠ Yes	□ No	□ N/A	Remarks:
14.	Do emergency service X Numbers document and justify the emergency?	™ Yes	□No	□ N/A	Remarks:
15.	Is the itemized invoice for each X Number service maintained in the command's files?	¥ Yes	□ No	□ N/A	Remarks:

CHAPTER 3 -COMMAND PROCUREMENTS AREA MANAGEMENT ENALUATION X-NUMBER PROGRAM

Area Evaluated: Fresno – 435 Evaluated By: Sergeant J. Baker, #14410 Date of evaluation: April 22, 2009

COMMENTS

Are multiple X Numbers awarded to the same vendor to circumvent the \$4,999 contract limit? -i

No, Fresno Area follows current policy contained in HPM 11.1, chapter 23

Does all X Number file documentation contain the STD. 204 Payee Data Record? તં

Yes.

have prior approval from the Business Services Section commander? Do X Numbers requiring a contract (i.e., janitorial or landscaping) 8

N/A

Are X Number requests made prior to the date the services are performed? 4

Yes, through the division x-number coordinator Sandy Padilla, unless there is an emergency.

2008 AREA MANAGEMENT EVALUATION CHAPTER 3 – COMMAND PROCUREMENTS X-NUMBER PROGRAM

5. Are X Numbers issued for a one-time use?

Yes

6. Are prohibited services performed using an X Number?

No, Fresno Area follows current policy contained in HMP 11.1, chapter 23.

7. Are X Numbers used for the procurement of a service and not the purchase of a commodity?

Yes. X-numbers are used to obtain services, and the Cal-card and CHP 43 are used to obtain commodities.

8. Are X Numbers issued for telecommunications related services preapproved by Telecommunications Section?

N/A

9. Do X Numbers used for facilities related services (such as roof repair, electrical) costing over \$1,000 have prior approval from Facilities Section?

Yes, X-numbers for facilities related services are obtained from Pete Conejo at Facilities Section.

10. Do X Numbers issued for lapsed contractual agreements have prior approval by the appropriate Assistant Commissioner?

N/A

2008 AREA MANAGEMENT EVALUATION CHAPTER 3 -COMMAND PROCUREMENTS X-NUMBER PROGRAM

11. Do all X Numbers awarded to a non-small business vendor contain three price quotations?

Yes, unless service is obtained from a vender with no other venders of a similar type in the area.

12. Do all X Numbers awarded to a small business vendor contain the small business certification from the Department of General Services (DGS)?

Yes, small business certification is verified using the on-line DGS web site.

13. Does the file documentation contain the STD. 21 Drug Free workplace certification for X Number vendors?

Yes, copies are kept in file at the Fresno Area,

14. Do emergency service X Numbers document and justify the emergency?

Yes, justification is provided, and approval from Fresno Area management is obtained.

15. Is the itemized invoice for each X Number service maintained in the command's files?

Yes, the invoices are maintained by the X-number coordinator Officer Bruce Golbek.

Additional Information: Although this audit was conducted on April 22, 2009, the audit was for 2008 X-numbers.